



# **Provider Monitoring Report**

**SafeCert Awards Limited**

**3 March – 10 March 2020**

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# 1 Background

Two providers were monitored on 3 March and 10 March 2020.

## 1.1 Scope

SQA Accreditation carries out quality assurance activity in line with its *Quality Assurance of Approved Awarding Bodies Policy*. This involves monitoring a sample of the awarding body's approved providers or assessment sites. Provider monitoring visits will be conducted in a consistent manner within and between providers.

The aim of monitoring is to:

- ◆ ensure the awarding body's compliance with SQA Accreditation's regulatory requirements
- ◆ confirm that quality assurance arrangements are being conducted by the awarding body in accordance with its prescribed arrangements
- ◆ ensure that quality assurance arrangements are being conducted in a consistent manner, within and between providers
- ◆ ensure that providers are receiving the appropriate guidance, support and documentation from the awarding body in order to facilitate a high standard of qualification delivery
- ◆ inform future audit and monitoring activity for the awarding body

All Principles may be included within the scope of the provider monitoring activity.

Awarding body documentation considered for review includes all documents banked on the awarding body's SharePoint Place at the time of provider monitoring and information supplied by providers to support provider monitoring activity. Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence.

SQA Accreditation provider monitoring reports are written by exception focusing only on those areas where corrective action is required or recommended.

## 1.2 Provider Monitoring Report Timescales

SafeCert provider monitoring dates: 3 March – 10 March 2020

Provider Monitoring Report approved by  
Accreditation Co-ordination Group on: 8 April 2020

Provider Monitoring Report to be signed by SafeCert: 25 May 2020

Action Plan to be emailed  
to [regulation@sqa.org.uk](mailto:regulation@sqa.org.uk) by SafeCert: 25 May 2020

The process will apply in relation to the timescales specified above:

- ◆ The awarding body will be sent a copy of the Provider Monitoring Report by email.
- ◆ The awarding body must sign the copy of the Provider Monitoring Report and return by email to SQA Accreditation in accordance with the timescale specified above.
- ◆ The awarding body will also be emailed a copy of the Action Plan.
- ◆ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and email this in Microsoft Word format to [regulation@sqa.org.uk](mailto:regulation@sqa.org.uk).
- ◆ SQA Accreditation will confirm when the Action Plan is appropriate to address the Issues and present it to Accreditation Co-ordination Group (ACG) for approval.
- ◆ Following approval by ACG, the awarding body will be sent a signed copy of the approved Action Plan by email.
- ◆ The awarding body must sign the Action Plan and return by email to SQA Accreditation.

The findings of this Provider Monitoring Report and the associated Action Plan will be published on SQA Accreditation's website following signed agreement.

SQA Accreditation will continually monitor progress towards completion of the proposed actions identified in the Action Plan and update the awarding body's Quality Enhancement Rating as appropriate.

### 1.3 Summary of Provider Monitoring Issues and Recommendations

An Issue has been recorded where evidence shows that the awarding body is not compliant with SQA Accreditation's regulatory requirements. The awarding body must address the Issues and specify corrective and preventative measures to address them through its Action Plan.

The Action Plan is emailed to SafeCert as a separate document to the Provider Monitoring Report and must be submitted to SQA Accreditation in accordance with the timescale specified in 1.2.

As a result of the provider monitoring activity, one Issue has been recorded and two Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principles 6 and 10	<p>Provider 1 did not have any certificates for its internal quality assurer to evidence either a current first aid qualification or an internal quality assurance qualification. Additionally, the tutor/assessor did not have a copy of their current first aid certificate.</p> <p>Secondly, the provider had received a recent external quality assurance visit from SafeCert but the lack of staff certificate evidence was not highlighted as would be expected. When reviewing the <i>SafeCert EQA Centre Visit Form</i>, the Accreditation Auditor noted that there are no specific criteria listed which direct external quality assurers to check and record evidence of staff competence.</p>	Medium

A Recommendation has been noted where SQA Accreditation considers there is potential for enhancement. The awarding body is advised to address any Recommendations in order to reinforce ongoing continuous improvement. However, measures to correct or prevent these are not mandatory and therefore do not form part of the Action Plan.

Recommendation	Detail of Recommendation noted
1. Principle 4	SafeCert may wish to consider reviewing the paperwork needed for assessment in terms of volume and design.
2. Principle 7	SafeCert may wish to consider sending more first aid updates and convening more standardisation events for providers.

## 1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to each Issue recorded depending on the impact on or risk to the awarding body's operations, its SQA accredited qualifications and/or the learner.

Issues recorded during provider monitoring will count towards SafeCert's Quality Enhancement Rating which will, in turn, contribute towards future quality assurance activity. Further detail on how the Quality Enhancement Rating is calculated can be found on the [SQA Accreditation website](#).

## 2 Good Practice, Issues and Recommendations

The following sections detail:

- ◆ good practice noted by providers
- ◆ Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements

### 2.1 Good Practice

The following areas of good practice were noted by providers:

Provider 1 highlighted the:

- improved communication in terms of answering queries
- receipt of the external quality assurance report the day after the visit
- revised multiple-choice question paper for the qualification being offered
- availability of a resit paper
- quick receipt of candidate certificates

Provider 2 highlighted the:

- quality of the information in the SafeCert newsletter
- responsiveness to queries and open attitude to suggestions made, especially with regard to the questions used in the multiple-choice assessments
- high level of first aid knowledge displayed by the external quality assurer and useful feedback provided during visits
- excellent continuing professional development (CPD) event organised by the awarding body
- availability of a resit paper
- quick receipt of candidate certificates

## 2.2 Issues

**Regulatory Principle 6. The awarding body and its providers shall maintain accurate documents, records and data.**

**Regulatory Principle 10. The awarding body shall ensure that it has the necessary arrangements and resources for the effective delivery, assessment and quality assurance of SQA accredited qualifications.**

Provider 1 had one tutor/assessor and one contractual internal quality assurer who is an employee of another first aid organisation. The provider did not have any certificates for its internal quality assurer to evidence either a current first aid qualification or an internal quality assurance qualification. Additionally, the tutor/assessor did not have a copy of their current first aid certificate. The Accreditation Auditor is not asserting that the staff had not undertaken these qualifications needed in accordance with the *Assessment Principles for Regulated First Aid Qualifications 2017 version 6*. The concern is about the record keeping of evidence in this regard.

Secondly, the provider had received a recent external quality assurance visit from SafeCert but the lack of staff certificate evidence was not highlighted as would be expected. The report does mention that the provider was waiting on certificates being forwarded to the provider by SafeCert but the tutor/assessor confirmed to the Accreditation Auditor that these were the SafeCert provider approval certificates, not staff certificates. When reviewing the *SafeCert EQA Centre Visit Form*, the Accreditation Auditor noted that there are no specific criteria listed which direct external quality assurers to check and record evidence of staff competence. Within the report, part 5 does include a benchmark statement regarding internal quality assurance staff attending relevant training and/or update sessions but this is not sufficient on its own. The *SafeCert EQA Centre Visit Form* needs to ensure that all staff records are checked and that this is recorded.

This has been recorded as **Issue 1**.

## 2.3 Recommendations

**Regulatory Principle 4. The awarding body shall continually review the effectiveness of its business services, systems, policies and processes.**

Staff at provider 2 commented that there is a lot of paperwork necessary for the assessment of the qualifications and this is printed by providers. Additionally, staff commented that the design of some paperwork with heavy black bolding means a lot of ink is required.

SafeCert may wish to consider reviewing the paperwork needed for assessment in terms of volume and design.

This has been noted as **Recommendation 1**.

**Regulatory Principle 7. The awarding body shall have effective arrangements for communicating with its staff, stakeholders and SQA Accreditation.**

Staff at provider 1 commented that it would be helpful to receive more first aid updates from the awarding body.

Staff at provider 2 had attended a CPD standardisation type event which was held in Glasgow in February 2019. They commented that the event was excellent in terms of the information disseminated and the networking opportunities it provided.

SafeCert may wish to consider sending more first aid updates and convening more standardisation events for providers.

This has been noted as **Recommendation 2**.

### 3 Acceptance of Provider Monitoring Findings

For and on behalf of SafeCert:

For and on behalf of SQA Accreditation:

**Print name**

**Print name**

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**Signature**

**Signature**

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**Designation**

**Designation**

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**Date**

**Date**

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